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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ApplicantS: Alexander Gaiger and Martin A. Cheever  
Attorney's Docket No: 210121.465C1  
Application No.: 09/276,484  
Filed: March 25, 1999  
For: COMPOSITIONS AND METHODS FOR WT1 SPECIFIC  
IMMUNOTHERAPY

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§ 1.9(f) AND 1.27(d) -- NONPROFIT ORGANIZATION)

I declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: University of Washington  
Address of Organization: Seattle, Washington 98195

## TYPE OF ORGANIZATION:

- ☒ university or other institution of higher education  
☐ tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))  
☐ nonprofit scientific or educational under statute of a state of the United States of America  
(Name of state: \_\_\_\_\_)  
(Citation of statute: \_\_\_\_\_)  
☐ would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in the United States of America  
☐ would qualify as nonprofit scientific or educational under statute of a state of the United States of America if located in the United States of America  
(Name of state: \_\_\_\_\_)  
(Citation of statute: \_\_\_\_\_)

I declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under 35 U.S.C. §§ 41(a) and 41(b) with regard to the invention entitled:

**COMPOSITIONS AND METHODS FOR WT1 SPECIFIC IMMUNOTHERAPY**

by inventors Alexander Gaiger and Martin A. Cheever

as described in:

☐ the specification filed herewith.

☒ Application No. 09/276,484, filed March 25, 1999.

☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

I declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. § 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).\*

\*NOTE: Separate verified statements are required from each named person, concern and organization having rights to the invention averring to his/its status as a small entity. (37 C.F.R. § 1.27)

FULL NAME Corixa Corporation

ADDRESS 1124 Columbia Street, Suite 200, Seattle, Washington 98104

☐ individual

☒ small business concern

☐ nonprofit organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ individual

☐ small business concern

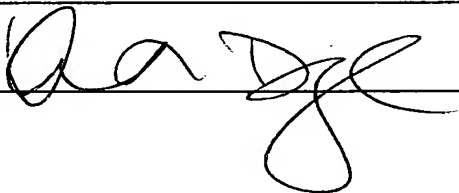
☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earlier of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Karen L. Deyerle  
TITLE IN ORGANIZATION Manager, Health Sciences  
ADDRESS OF PERSON SIGNING Seattle, Washington 98195

SIGNATURE



DATE

6-14-99



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Alexander Gaiger and Martin A. Cheever  
Attorney's Docket No: 210121.465C1  
Application No.: 09/276,484  
Filed: March 25, 1999  
For: COMPOSITIONS AND METHODS FOR WT1 SPECIFIC  
IMMUNOTHERAPY

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37 C.F.R. §§ 1.9(f) AND 1.27(c)) – SMALL BUSINESS CONCERN**

I declare that I am:

- ☐ the owner of the small business concern identified below.  
☒ an official of the small concern empowered to act on behalf  
of the concern identified below.

NAME OF CONCERN: Corixa Corporation  
ADDRESS OF CONCERN: 1124 Columbia Street, Suite 200  
Seattle, Washington 98104

I declare that the above-identified small business concern qualifies as a small business concern as defined in 13 C.F.R. §§ 121.3-18 and reproduced in 37 C.F.R. § 1.9(d) for purposes of paying reduced fees under 35 U.S.C. §§ 41(a) and 41(b) in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I declare that rights under contract or law have been conveyed to and remain with the small business concern with regard to the invention entitled:

**COMPOSITIONS AND METHODS FOR WT1 SPECIFIC IMMUNOTHERAPY**

by inventors: Alexander Gaiger and Martin A. Cheever  
as described in:

- ☐ the specification filed herewith.  
☒ Application No. 09/276,484, filed March 25, 1999.  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the

invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. § 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).\*

\*NOTE: Separate verified statements are required from each named person, concern and organization having rights to the invention averring to his/its status as a small entity. (37 C.F.R. § 1.27)

FULL NAME University of Washington

ADDRESS Seattle, Washington 98195

- ☐ individual  
☐ small business concern  
☒ nonprofit organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

- ☐ individual  
☐ small business concern  
☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earlier of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Mark McDade

TITLE OF PERSON OTHER THAN OWNER: President and Chief Operating Officer

ADDRESS OF PERSON SIGNING: 1124 Columbia Street, Suite 200

Seattle, Washington 98104

SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

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## DECLARATION AND POWER OF ATTORNEY

As the below-named inventors, we declare that:

Our residences, post office addresses, and citizenships are as stated below under our names.

We believe we are the original, first and joint inventors of the invention entitled "COMPOSITIONS AND METHODS FOR WT1 SPECIFIC IMMUNOTHERAPY," which is described and claimed in the specification and claims of C-I-P Application No. 09/276,484, which we filed in the United States Patent and Trademark Office on March 25, 1999, and for which a patent is sought; and that this application in part discloses and claims subject matter disclosed in our earlier-filed Application No. 09/164,223, entitled "COMPOSITIONS AND METHODS FOR WT1 SPECIFIC IMMUNOTHERAPY," which we filed in the United States Patent and Trademark Office on September 30, 1998.


We have reviewed and understand the contents of the above-entitled specification, including the claims, as amended by any amendment specifically referred to herein (if any).

We acknowledge our duty to disclose information of which we are aware which is material to the patentability and examination of this application in accordance with 37 C.F.R. § 1.56(a), including material information which occurred between the filing date of said earlier-filed application and the filing date of the C-I-P application.

We hereby appoint RICHARD W. SEED, Reg. No. 16,557; ROBERT J. BAYNHAM, Reg. No. 22,846; EDWARD W. BULCHIS, Reg. No. 26,847; GEORGE C. RONDEAU, JR., Reg. No. 28,893; DAVID H. DEITS, Reg. No. 28,066; WILLIAM O. FERRON, JR., Reg. No. 30,633; PAUL T. MEIKLEJOHN, Reg. No. 26,569; DAVID J. MAKI, Reg. No. 31,392; RICHARD G. SHARKEY, Reg. No. 32,629; DAVID V. CARLSON, Reg. No. 31,153; KARL R. HERMANN, Reg. No. 33,507; DAVID D. MCMASTERS, Reg. No. 33,963; MICHAEL J. DONOHUE, Reg. No. 35,859; CHRISTOPHER J. DALEY-WATSON, Reg. No. 34,807; STEVEN D. LAWRENZ, Reg. No. 37,376; ROBERT G. WOOLSTON, Reg. No. 37,263; ELLEN M. BIERMAN, Reg. No. 38,079; PAUL T. PARKER, Reg. No. 38,264; ANN T. KADLECEK, Reg. No. 39,244; DAVID W. PARKER, Reg. No. 37,414; BRIAN G. BODINE, Reg. No. 40,520; FRANK ABRAMONTE, Reg. No. 38,066; E. RUSSELL TARLETON, Reg. No. 31,800; THOMAS L. EWING, Reg. No. 34,328; KEVIN S. COSTANZA, Reg. No. 37,801; DALE C. BARR, Reg. No. 40,498; KEVIN S. ROSS, Reg. No. 42,116; PAUL F. RUSYN, Reg. No. 42,118; JOHN M. WECHKIN, Reg. No. 42,216; THOMAS E. LOOP, Reg. No. 42,810; STEPHEN J. ROSENMAN, Reg. No. 43,058; BRIAN L. JOHNSON, Reg. No. 40,033; JAMES D. WHITE, Reg. No. 43,985; KIMTON N. ENG, Reg. No. 43,605;

We further declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of any patent issuing from this patent application. 1

this patent application.



Alexander Gaiger

Date June 8<sup>th</sup> 1999  
 Residence : City of Seattle, County of King  
 State of Washington  
 Citizenship : Austria  
 P.O. Address : 1421 42nd Avenue East  
 Seattle, Washington 98112

Martin A. Cheever  
Martin A. Cheever

Date June 10, 1995  
Residence : City of Mercer Island, County of King  
State of Washington  
Citizenship : United States of America  
P.O. Address : 6825 83rd Avenue Southeast  
Mercer Island, Washington 98104